

INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>(Not for submission under 37 CFR 1.99)</small>	Application No.:	10/697,541
	Filing Date:	October 30, 2003
	First Named Inventor:	Alan M. Buckwalter et al.
	Art Unit:	3694
	Examiner Name:	Shahid R. Merchant
	Docket No.:	17209-322CP1

U.S. PATENTS⁵

Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
/S.M./	1	6,829,589		12-04	Saliba, Anthony J.	
	2					

If you wish to add additional U.S. Patent citation information please click the Add button

U.S. PATENT APPLICATION PUBLICATIONS⁶

Examiner Initial*	Cite No	Publication Number ¹	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
/S.M./	3	2001/0044767		11-01	Madoff et al.	
/S.M./	4	2002/0059107		05-02	Reich et al.	
/S.M./	5	2002/0091606		07-02	Shapiro	
/S.M./	6	2002/0138401		09-02	Allen et al.	
/S.M./	7	2002/0156719		10-02	Finebaum et al.	
/S.M./	8	2003/0130926		07-03	Moore et al.	
	9					
	10					

If you wish to add additional U.S. Published Application citation information please click the Add button

FOREIGN PATENT DOCUMENTS⁷

Examiner Initial*	Cite No	Foreign Document Number	Country Code ² i	Kind Code ¹	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T ⁸
	11							<input type="checkbox"/>
	12							<input type="checkbox"/>

If you wish to add additional Foreign Patent Document citation information please click the Add button

NON-PATENT LITERATURE DOCUMENTS⁹

Examiner Initial*	Cite No	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ¹⁰
/S.M./	13	Rini, Bill et al., "Subject: Trade-Order Routing and Payment for Order Flow," The Investment FAQ, Last-Revised November 25, 1999, retrieved from < http://invest-faq.com/articles/trade-order-routing.html > on September 25, 2003. 5 pgs.	<input type="checkbox"/>
/S.M./	14	"SRO Rulemaking, Supplementary Material: Chicago Board Options Exchange Options Linkage Plan," U.S. Securities and Exchange Commission, January 19, 2000, retrieved from < http://www.sec.gov/rules/extra/cboe.htm > on September 25, 2003. 29 pages.	
/S.M./	15	Peter Chapman, "Quality Control At Mother Merrill: Spending Big Bucks to Obtain Best	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT <small>(Not for submission under 37 CFR 1.99)</small>	Application No.: 10/697,541
	Filing Date: October 30, 2003
	First Named Inventor: Alan M. Buckwalter et al.
	Art Unit: 3694
	Examiner Name: Shahid R. Merchant
	Docket No.: 17209-322CP1

		Execution," Traders Magazine, March 2000. Retrieved October 8, 2010, from Banking Information Source.	
/S.M./	16	Louis, Brian, "Options Linkage Plan Won't Provide Instant Solution," The Street.com, July 28, 2000, retrieved from <http://www.thestreet.com/pl/stocks/brokerages/1019385.html> on September 25, 2003. 2 pgs.	
/S.M./	17	"Investor Tips: Trade Execution," U.S. Securities and Exchange Commission, retrieved from <http://www.sec.gov/investor/pubs/tradexc.html> on September 25, 2003, 4 pgs.	
/S.M./	18	Chicago Board Options Exchange Website, <http://web.archive.org/web/20001217040300/www.cboe.com/education/basics.htm>	
/S.M./	19	"Trade Execution: What Every Investor should know," from <www.sec.gov>	

If you wish to add additional non-patent literature document citation information please click the Add button

EXAMINER SIGNATURE			
Examiner Signature	/Shahid Merchant/	Date Considered	02/22/2011
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p> <p>¹ See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. ² Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). ³ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁴ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.1.6 if possible. ⁵ Applicant is to place a check mark here if English language translation is attached.</p> <p>⁶ Submitted references are not admitted as prior art as they cannot, in all circumstances, be verified as: authentic, predating the filing date, etc. (e.g., websites have purported dates of availability, but cannot be verified to have published at those times with the same/current content).</p> <p>This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.</p>			